




SPACE, EQUIPMENT AND SUPPLIES FOR THE KEEPING OF RECORDS

The most important aspect of Records Management, next to creating the proper records and maintaining them properly, is keeping them in the most efficient and economical space and equipment. There are hundreds of types of filing equipment and supplies manufactured by many different companies. Each item has a specific purpose; and if properly used, will aid in the overall efficiency of an office; conversely, the wrong type equipment can have a serious adverse effect on efficiency.

This chapter is in three sections. Section I contains criteria and guidelines which will assist you in the review and selection of the proper equipment and supplies for each application in your office. It also explains when the use of a Special Purpose Vault area or vault will produce economy in space and efficiency in operation. Section II deals with standardization of filing equipment and supplies. All government departments and agencies are required to standardize their supply items to reduce purchase and inventory costs. This section contains information on the standard filing equipment and supplies approved by the Agency. Section III sets forth the procedures for obtaining items. The acquisition of any additional records filing equipment is rigidly controlled, and deviation from the standard supplies listed in Section II must be justified. This section describes the review procedures and approvals that are necessary prior to processing any requests for these items. It also describes the procedures to be followed to convert existing space to a vault area.

REFERENCES

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1. 
2. 
3. 
4. Memo to AD/OL from the DDS, Subj: "Requests for Secure Areas in the Headquarters Building, Dtd. 7 June 1962
5. Memo to the Deputy Directors from EX DIR COMPT, Subj: "Records Storage Control Policy," Dtd. 6 July 1971
6. Memo to D/Security from DD/OS, Subj: "Special Purpose Vault," Dtd. 13 Sept. 1971
7. Memo to the Directorate Executive Officers from the DDM&S, Subj: "Special Approval and Justification for Requisitioning Safes and File Equipment," Dtd. 8 May 1973
8. Memo to C/RAB from C/ISAS, Subj: "Special Purpose Vault," Dtd. 2 Aug. 1973

SECTION I - Guidelines for the Use of Filing Equipment

A. General - Before any equipment is ordered, the Records Officer should confirm that the maximum use is being made of all existing filing equipment and that the requester has:

1. Transferred to the Records Center or destroyed inactive records in accordance with approved records control schedules.
2. Removed office supplies, unclassified publications, and other non-sensitive material from safe cabinets.
3. Used letter-size file cabinets whenever less than 20 percent of the correspondence filed is legal-size material.
4. Centralized files in secure areas, where feasible, to permit use of cabinets without locks, or open shelf files instead of safes.
5. Returned excess filing equipment to the Building Supply Office for disposition and informed the component Records Officer of each piece of filing equipment acquired, turned in, or transferred by the office.

B. Safe Type Correspondence Filing Cabinets - The most common type of filing equipment used in the Agency is the 4-drawer safe. In addition to the 4-drawer safes, there are 2-drawer and 5-drawer safes. Each of these safes have specific uses and the following should be considered before you decide which is best for your application.

1. A 2-drawer desk safe does not require additional floor space; however, they should only be approved when there is a definite need for filing space at that location.

2. A 4-drawer safe does not occupy more floor space than a 2-drawer free-standing safe and will hold double the volume of records. It will also reduce the security risk and time required to lock and unlock safes. However, a 4-drawer safe should not be requested unless the total space is needed. If two 2-drawer safes can be replaced by one 4-drawer safe, a savings can be realized.

3. A 5-drawer safe increases the filing capability by 20 percent without increasing the required floor space. However, a 5-drawer safe costs more and should only be approved when the extra file space is needed. The advantage of the 5-drawer safe is in an office that requires many safes. For example, ten 4-drawer safes can be reduced to eight 5-drawer safes and give the same amount of space for files.

C. Safe Type Filing Cabinets for Special Purposes

In addition to standard correspondence type filing safes, there are special types for the various types of records. These filing containers should be approved and used for the special type of records for which they were designed. Some of the more common types are listed below:

1. Filing cabinet designed for both 5x3 and/or 8/5 cards with combination lock; can be used also for 4x6 microfiche.
2. Visible index cabinets with combination lock.
3. Tab card cabinet with combination lock (can also be used for reel microfilm).

4. Cabinets for maps, charts and plans with combination lock.

D. Vaults and Special Purpose Vault Areas

When the Headquarters building was constructed, a large number of secure areas were included; however, many more secure areas have been added since that time. Vaults are rooms that meet security requirements for the storage of classified materials. They are usually located next to or near the work areas so that the material can be readily removed and replaced as needed. A secure area or what is now known as a Special Purpose Vault, usually includes the entire office.

Special Purpose Vaults are advantageous when an operation requires or involves a large number of records such as a central file or other type file room. Where the daily work involves material that would be difficult to secure in safe equipment, such as maps, computer tapes, etc., Special Purpose Vaults are also advantageous.

One of the most advantageous aspects of a Special Purpose Vault is that less expensive and more efficient filing equipment can be used. This equipment is described in paragraph E below.

E. Shelf Files

There are many types of shelving available for the storage of records. Shelf file units are primarily used as a solution to a space problem rather than an alternate piece of equipment to replace a drawer type filing unit. The greatest savings are achieved when shelf file units are installed in large areas where expansion in drawer type equipment is no longer possible or practical. Each installation of shelf

file units should be analyzed for savings in time, money, space and personnel. The use of shelf file units are feasible when:

1. The records are of a type which shelf file efficiently.
2. The procurement of new or additional equipment is contemplated for an active file station with active records.
3. Additional space is required for an active file station and only a limited amount of space is available.
4. A new file station is being established, consistent with a., above.
5. Unitized office furniture is used to create a work station designed to fit the needs and duties of the occupant of the station.
6. A useful room divider, providing a semblance of privacy, is desirable.
7. A useful counter space is desirable, but aisle space is limited.
8. Aisle space needs prevent placing active records near the primary user.

Each type of shelf file unit is designed to serve a specific purpose. Some of the most used types and factors to be considered are listed below:

1. Fixed Open Shelves - This type is the most economical. It should be considered for semi-active files such as closed out case or subject files where very little new material is being filed. Fixed shelves work particularly well when the entire folder is pulled for reference.

2. Fixed Shelves with Doors - This type has the same advantages as Item 1 above, but has the disadvantage of having doors to be opened before a file can be removed. This type is used where the security "need to know" principle requires files to be covered even in a vault area.

3. Shelf File Units with Rollout Shelves - This type unit is used where there is a high degree of reference to individual papers in a file folder. Also, this type is necessary for a "drop file" operation and do not have to be changed from top to side. These units can be converted to store tab cards, 5x8 cards, 3x5 cards, microfilm, magnetic tapes and to accommodate Pendaflex handling folders.

4. Compact Rollout Shelf Units - This type is used for large file operations. It features a double bank of lateral filing. The front row of shelves roll from side to side. The back shelves roll out for convenient filing. These units can be converted for cards, microfilm, magnetic tape, etc. Like the standard rollout files, the tabs do not have to be changed from top to side.

5. Rollaway Shelf Cabinet Units - This type is less expensive than the Rollout shelf. It features a double bank modular shelf filing in "sliding wall" arrangement. The units are set on a track assembly; and the front unit rolls away to gain excess to the back row. These units come with or without doors. If it is considered for existing files, usually some file conversion is necessary.

6. High Density Moveable Shelving - This type of shelving arrangement is designed to get the maximum use of floor space available for files. It is usually used in large file rooms or records center type operations. It features rows of shelves on rails or tracks. This type of shelving is available electrically powered or hand operated. Moveable shelving doubles the filing capacity of regular shelf file units; and since regular shelf file units double the capacity of conventional filing cabinets, this type of shelving can quadruple the capacity of a file operation.

7. Bookshelves - There are several companies that manufacture shelving for library type installations. These bookshelf units come in various sizes and configurations. Bookshelf units are usually less expensive than other types of shelving and should be considered for all applications where reading material must be kept in an accessible and orderly fashion.

8. Special Shelving - There are steel shelving units manufactured that will fit almost any application. If there are special filing or storage problems in your office due to size, weight or different types and size of material to be stored, there are probably steel shelving units available to solve them.

SECTION II - Standards

- A. Filing Cabinets - Reserved
- B. Shelving - Reserved
- C. Special Purpose Vaults

1. A Special Purpose Vault is recommended when a more efficient operation can be realized or a savings can be effected in money, manpower, space or equipment.

2. The specifications for a Special Purpose Vault (SPV) are:

a. SPV's are approved only for the Headquarters building.

b. Walls shall be constructed of the hollow metal wall dividers which are in current use in the Headquarters building. The space from the top of the wall to the slab will be protected by firmly affixed 1/8 inch solid steel plate. Walls may also be constructed of 4-inch or greater masonry or concrete block, slab to slab.

c. Doors shall be metal clad 1 1/2 hour fire doors, UL approved. The door shall be fitted with a T-8400 Series combination lock with hard plate backing and Extension 50. Door hardware will not be removable from the outside. There will be only one door wherever possible. If there are more doors, they will meet the above standards and be equipped with Safemasters 180 sliding deadbolts or other approved interior locking devices.

d. Whenever possible, Special Purpose Vaults will be erected in windowless areas. However, if there are windows, on the ground or first floors, they will be barred with 5/8 inch diameter steel rods placed 6 inches on center horizontally and vertically or have steel shutters. Windows above the first floor will be alarmed.

e. All Special Purpose Vaults will be equipped with door contact and volumetric alarm systems.

f. Rate-of-rise fire alarms will be installed in every Special Purpose Vault.

D. Filing Supplies - Standards have been established for correspondence type filing supplies as follows:

1. File Guide Cards With Metal Tabs - Pressboard, file guide cards with an angular metal index tab are available in boxes of 100 in legal size. The one-third size tab is either in the 1st, 2nd, or 3rd (left, center, or right) position atop the card. Desired tab positions must be specified on requisitions. These guides are identified in the Supply Catalog for office supplies FSC Group 75 as follows:

CARD, GUIDE, FILE

Gray pressboard; angular metal tabs; 9-1/2 in.

vertical, 14-3/4 in. horizontal; 1/3 cut

1st Position

2nd Position

3rd Position

2. Inserts for Metal Index Tabs - Insert strips for the one-third cut metal tab on guide cards are heavy white paper, scored for neat tearing, typewriter-spaced, and available in packages of 100. This item is identified in the Supply Catalog for office supplies FSC Group 75 as follows:

INSERT, INDEX TAB

For metal tab guide cards; sheet form; 10 strips per sheet, 10 sheets per envelope, 100 labels per package.

3. File Folders - The standardized letter or legal-size file folder is of 11-point, kraft paper with a reinforced, square cut, plain tab, extending the full width of the folder. Standard file folders without fasteners are available in boxes of 100. When necessary, they are also available with fasteners inside at upper right (1st position), upper left (3rd), lower left (4th) or combinations of these positions. These items are identified in the Supply Catalog for office supplies, FSC Group 75 as follows:

FOLDER, FILE

Kraft, tan; 11 point; 11-3/4 in. horizontal
1g, 9-1/2 in. vertical 1g; scored bottom;
square cut, reinforced tab
w/o fastener
w/fastener in 1st position
w/fastner in 1st and 3rd positions
w/fastener in 1st and 4th positions

4. Heavy-Duty File Folders - Legal size green, pressboard heavy-duty file folders with straight 1/3 cut metal tabs, a linen "W" type expansion gusset, and slots punched for fasteners, are available singly or in boxes of 100. Requests must specify tab position desired. These folders will be issued only when justified by unusual files and usage. These folders are identified in the Supply Catalog for office supplies, FSC Group 75 as follows:

FOLDER, FILE

Pressboard, 14-3/4 in. horizontal lg, 9-1/2 in.
vertical lg; linen "W" - type gusset,
metal tab, 1/3 cut

SECTION III - Procedures

A. General

When there is a requirement for a new record keeping device and/or system, or when there is a need to change an existing device and/or system, a Request for Vault/Secure Area and/or Filing Equipment (form 3569) should be initiated. This form is designed for use when it is known what devices are needed or when a survey or other assistance is required.

The form 3569 contains the routing and signatures that are necessary before a request for filing space or devices can be processed. It asks for the information necessary from the Records Officers and the analysts to make a judgement on the validity of the request or to be able to recommend alternatives.

The use of the form 3569 will eliminate the need for memoranda of justification, the need for routing slips and the need for Records Management approvals on the form 88 for equipment or on form 2620 for vault areas. It will save considerable time in the coordination and processing of requests and requisitions. Now many requests are received by the ISAS without the necessary coordination or approvals; in some instances, the request goes direct to Logistics. The Office of Logistics will not process any request without all the required approvals.

B. Procedures for Ordering Filing Supplies

1. Requests for the standard filing supplies described in Section II, paragraph D, 1., 2., and 3. may be put on Form 1490 and submitted direct to Building Services Branch/OL. A form 3569 is not necessary when ordering standard supplies.

2. Requests for heavy duty file folders may be put on Form 1490, but must be accompanied by a Form 3569 with the following statement as justification: "These heavy-duty file folders are needed because the frequent reference requirements of the file would necessitate replacement of a standard, 11-point, kraft folder during the active life of the file." These requests need only be approved through the Directorate Records Management Officer who will sign as the Technical Officer on the Form 88. The Directorate Records Officer may, however, forward the forms to the RAB for assistance or advice.

3. Requests for all other types of filing supplies must be put on a Form 88 and accompanied by a Form 3569, submitted to the RAB. However, reorders for special items previously approved by the RAB may be approved by the Directorate Records Officer who will sign as the Technical Officer on the Form 88. All requests for new items must be submitted to the RAB with justification as called for on the Form 3569. At the discretion of the Directorate Records Officer, requests for reorders may be submitted to the RAB for advice and/or concurrence.

C. Procedures for Ordering Filing Equipment

1. Requests for filing equipment shall be put on a form 88 and accompanied by a form 3569 submitted to the RAB. All requests for filing equipment must be fully justified and contain the following statement: "This certifies that the requesting office has complied with the equipment utilization provisions of

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2. Every request for filing equipment must be approved by the component Records Officer, the Directorate Records Officer and must be reviewed by a senior official at the directorate level. The RAB will not process any requests until these approvals and/or reviews are certified on the form 3569.

3. If the requested equipment is to replace existing equipment, a form 1490 listing the items to be turned in, must be forwarded with the request. The form 1490 should contain the statement: "This equipment to be picked up when the equipment on requisition #_____ is received." In the event the existing equipment is to be used in another office, a separate form 3569 must be submitted to justify that requirement.

4. To obtain assistance from the RAB in deciding on the proper type filing equipment or records storage system, complete a form 3569 and forward as indicated on the form to the RAB.

D. Procedures for Converting Space to a Special Purpose Vault

1. Requests for Special Purpose Vaults should be put on a "Request for Logistics Services" (form 2620), and accompanied by a form 3569 forwarded as indicated to the RAB.

2. Every request for vault space must be approved by the component Records Officer, the Directorate Records Officer and must be reviewed by a senior official at the directorate level. The RAB will not process any requests until these approvals and reviews have been certified to on the form 3569.

3. After the RAB has completed its reviews and has made the determination that the vault is advantageous from a Records Management standpoint, it will forward the request to the Office of Security.

4. The Office of Security will determine the security requirements and forward the request to the Office of Logistics.

5. The Office of Logistics will prepare cost estimates and after consultation with the requesting official, schedule the necessary work.

6. Requests that do not seem to be justified will be forwarded to the Deputy Director for Management and Services from the Chief, Information Systems Analysis Staff with recommendations for disapproval.

E. Procedures for Obtaining Assistance from the RAB

1. Submit a form 3569, as indicated, to the RAB giving as much information as possible about the problem or service needed.

2. The RAB will contact the component Records Officer through the Directorate Records Officer and jointly conduct the necessary survey to determine the solution to the file problem.

ATTACHMENTS


FORM #3569 - Request for Vault/Secure Area or Filing Equipment

FORM #88 - Requisition for Materiel and/or Services

FORM #1490 - Requisition or Turn-in for Administrative Supplies
and Equipment

FORM #2620 - Request for Logistics Services

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 - Standardization and Use of Filing Equipment and
Supplies

- Storage of Classified and Controlled Matter